



CF/028

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant : Andrew C. Gilbert
Application No. : 09/858,091 Confirmation No. : 2562
Filed : May 15, 2001
For : SYSTEMS AND METHODS FOR SHIFTING BIDS
AND OFFERS IN A TRADING INTERFACE
Group Art Unit : 3624
Examiner : Kelly Scaggs Campen

Mail Stop RCE
Hon. Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,
applicant wishes to call the attention of the Examiner to
the following documents:

U.S. Patent Documents

6,408,282	Buist	06-18-2002
6,134,535	Belzberg	10-17-2000
6,112,189	Rickard et al.	08-29-2000
6,098,051	Lupien et al.	08-01-2000

6,016,483	Rickard et al.	01-18-2000
5,845,266	Lupien et al.	12-01-1998
5,809,483	Broka et al.	09-15-1998
5,101,353	Lupien et al.	03-31-1992

These documents are listed on the accompanying Form SB/08 (submitted in duplicate). In accordance with 37 C.F.R. § 1.98(a)(2)(ii), copies of the U.S. patent documents are not enclosed herewith.

Applicant reserves the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

It is respectfully requested that these documents be: (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent which may issue on this application. Applicant requests that a copy of Form SB/08, as considered and initialized by the Examiner, be returned with the next communication.

Consideration of the foregoing in relation to
this patent application is respectfully requested.

Respectfully submitted,

Adam Saltzman

Adam M. Saltzman
Reg. No. 52,188
Agent for Applicant
Fish & Neave IP Group
Ropes & Gray LLP
Customer No. 1473
1251 Avenue of the Americas
New York, New York 10020-1105
Tel.: (212) 596-9000
Fax: (212) 596-9090

Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 1

Complete if Known

Applicant Number	09/858,091
Filing Date	May 15, 2001
First Named Inventor	Andrew C. Gilbert
Art Unit	3624
Examiner Name	Kelly Scaggs Campen
Attorney Docket Number	CF/028
Confirmation Number	2562

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US-6,408,282	06-18-2002	Buist	
		US-6,134,535	10-17-2000	Belzberg	
		US-6,112,189	08-29-2000	Rickard et al.	
		US-6,098,051	08-01-2000	Lupien et al.	
		US-6,016,483	01-18-2000	Rickard et al.	
		US-5,845,266	12-01-1998	Lupien et al.	
		US-5,809,483	09-15-1998	Broka et al.	
		US-5,101,353	03-31-1992	Lupien et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

EXPRESS MAIL LABEL NO. EV669633088US